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UNITED STATES  
SECURITIES AND EXCHANGE COMMISSION  
Washington, D.C. 20549

FORM 19b-4(e)

Information Required of a Self-Regulatory Organization Listing and Trading a New  
Derivative Securities Product Pursuant to Rule 19b-4(e) Under the Securities Exchange Act of 1934

OMB APPROVAL

OMB Number: 3235-0504  
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SEC 19b-4(e)  
MAY 02 2018  
Washington, DC

READ ALL INSTRUCTIONS PRIOR TO COMPLETING FORM

Part I Initial Listing Report

1. Name of Self-Regulatory Organization Listing New Derivative Securities Product:  
**Nasdaq BX, Inc. (traded pursuant to unlisted trading privileges)**
2. Type of Issuer of New Derivative Securities Product (e.g., clearinghouse, broker-dealer, corporation, etc.):  
**Open End Management Investment Company**
3. Class of New Derivative Securities Product:  
**Exchange Traded Fund**
4. Name of Underlying Instrument:  
**Actively Managed Portfolio of Securities**
5. If Underlying Instrument is an Index, State Whether it is Broad-Based or Narrow-Based:  
**Not Applicable**
6. Ticker Symbol(s) of New Derivative Securities Product:  
**HTAB**
7. Market or Markets Upon Which Securities Comprising Underlying Instrument Trades:  
**Listed on: OTC**
8. Position Limits of New Derivative Securities Product (if applicable):  
**Regular way trades settle on T + 2 (cash settled)**
9. Position Limits of New Derivative Securities Product (if applicable):  
**N/A**



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Part II Execution

The undersigned represents that the governing body of the above-referenced Self-Regulatory Organization has duly approved, or has duly delegated its approval to the undersigned for, the listing and trading of the above-referenced new derivative securities product according to its relevant trading rules, procedures, surveillance programs and listing standards.

Name of Official Responsible for Form:  
**William Slattery**

Title:  
**Vice President**

Telephone Number:  
**+1 301 9788088**

Manual/Signature of Official Responsible for Form:

Date: April 27, 2018

Act Securities Exchange Act of 1934

Section 19b-4  
Rule 19b-4(e)

Public Availability: MAY 2 2018

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